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| UTILITY PATENT APPLICATION TRANSMITTAL <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small> | | Attorney Docket No. ASC-025DV1C1 | |
| | | First Named Inventor Cheng | |
| | | Title SEMICONDUCTOR SUBSTRATE STRUCTURE | |

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| APPLICATION ELEMENTS | ADDRESS TO: Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450 |
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form 2. <input type="checkbox"/> Small Entity Status <input type="checkbox"/> Applicant claims small entity status <input type="checkbox"/> Status established in prior application and is still proper and desired 3. <input checked="" type="checkbox"/> Specification and Drawings [Total Pages 30] - Cover Sheet - (1 page) - Written Description - (12 pages) - Claims - (8 pages) - Abstract - (1 page) - Sheets of Drawings - (8 sheets) <input type="checkbox"/> Formal <input checked="" type="checkbox"/> Informal 4. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages] a. <input type="checkbox"/> Newly executed (original) b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 17 completed)</i> <i>[Note Box 5 below]</i> 5. <input checked="" type="checkbox"/> Incorporation by Reference (usable if Box 4b is checked) The entire Disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein. 6. <input checked="" type="checkbox"/> Application Data Sheet 7. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission <input type="checkbox"/> Computer Readable Form (CRF) <input type="checkbox"/> Paper Copy (identical to computer copy) <input type="checkbox"/> CD (2 copies) (identical to computer copy) <input type="checkbox"/> Statement verifying identity of above copies | ACCOMPANYING APPLICATION PARTS 8. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee) <input type="checkbox"/> Power of Attorney 9. <input type="checkbox"/> English Translation Document (if applicable) 10. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations 11. <input checked="" type="checkbox"/> Preliminary Amendment <input type="checkbox"/> Drawings [Total Sheets] 12. <input checked="" type="checkbox"/> Return Receipt Postcard (specifically itemized) 13. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority claimed) 14. <input type="checkbox"/> Nonpublication Request Under 35 U.S.C. 122(b) 15. <input type="checkbox"/> CD in duplicate for large table or computer program 16. <input checked="" type="checkbox"/> Other: Copy of Power of Attorney by Assignee of Entire Interest and Revocation of Prior Powers and New Power of Attorney (2 pages) Copy of Preliminary Amendment filed in parent case (14 pages) Copy of Transmittal of Formal Drawings filed in parent case (1 pg) Copy of Formal Drawings filed in parent case (5 sheets) |
| 17. <input checked="" type="checkbox"/> If a CONTINUING APPLICATION: Amend the specification by inserting on page 1, before the first line, the sentence: --This is a <input checked="" type="checkbox"/> continuation <input type="checkbox"/> divisional <input type="checkbox"/> continuation-in-part of prior application Serial Nos. 10/384,160, filed on March 7, 2003, and 09/928,126, filed on August 10, 2001, the entire disclosures of which are incorporated by reference herein.-- Priority to the above application(s) is claimed under 35 U.S.C. 120. Prior application information: Examiner: <u>Craig Thompson</u> . Group/Art Unit: <u>2813</u> . 18. <input checked="" type="checkbox"/> Priority - 35 U.S.C. 119 <input checked="" type="checkbox"/> Priority of application Serial No. 60/225,666 filed on August 16, 200 in the U.S. patent and Trademark Office is claimed under 35 U.S.C. 119. <input type="checkbox"/> The certified copy has been filed in prior U.S. application Serial No. ____/____ on ____. <input type="checkbox"/> The certified copy will follow. | |
| CORRESPONDENCE ADDRESS | SIGNATURE BLOCK |
| Direct all correspondence to: Patent Administrator Testa, Hurwitz & Thibault, LLP High Street Tower 125 High Street Boston, MA 02110 Tel. No.: (617) 248-7000 Fax No.: (617) 248-7100 Customer No. 021323 | Respectfully submitted, Date: March 17, 2004 Reg. No. 44,381 Tel. No.: (617) 310-8327 Fax No.: (617) 248-7100 Natasha C. Us Attorney for Applicant(s) Testa, Hurwitz & Thibault, LLP High Street Tower 125 High Street Boston, MA 02110 |

 22856 U.S. PTO
 10/802185


FEE TRANSMITTAL **FY 2004**

Complete if Known

| | |
|---------------------------|------------------|
| Application Serial Number | Not yet assigned |
| Filing Date | Herewith |
| First Named Inventor | Cheng |
| Group Art Unit | Not yet assigned |
| Examiner Name | Not yet assigned |
| Attorney Docket No. | ASC-025DV1C1 |

METHOD OF PAYMENT

1. ☒ Payment Enclosed:
☒ Check ☐ Money Order ☐ Other
2. ☒ The Commissioner is hereby authorized to credit or charge any fee indicated below for this submission to Deposit Account No. 20-0531.
☐ Required Fees (copy of this sheet enclosed).
☒ Additional fee required under 37 CFR 1.16 and 1.17.
☒ Overpayment Credit.
3. ☐ Applicant claims small entity status.

FEE CALCULATION**1. FILING FEE**

| Large Entity Fee (\$) | Fee Description | Fee Paid |
|-----------------------|------------------------|----------|
| 770 | Utility filing fee | 770.00 |
| 340 | Design filing fee | |
| 160 | Provisional filing fee | |

| Number Filed | Number Extra | Rate | Amount |
|--------------|--------------|------|--------|
|--------------|--------------|------|--------|

Total Claims - 20 = x \$ 18.00 =

Independent Claims - 3 = x \$ 86.00 =

☐ Multiple Dependent Claim(s), if any \$290.00 =

TOTAL: 770.00

SMALL ENTITY DISCOUNT:

SUBTOTAL (1) (\$) 770.00

2. AMENDMENT CLAIM FEES

| Claims Remaining After Amend. | Highest No. Previously Paid For | Present Extra | Rate | Fee Paid |
|-------------------------------|---------------------------------|---------------|------|----------|
|-------------------------------|---------------------------------|---------------|------|----------|

Total - = x \$ 18.00 =

Indep. - = x \$ 86.00 =

☐ First Presentation of Multiple Dep. Claim + \$290.00 =

TOTAL: (\$)

SMALL ENTITY DISCOUNT: (\$)

SUBTOTAL (2) (\$) 0.00

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

| Large Entity Fee (\$) | Small Entity Fee (\$) | Fee Description | Fee Paid |
|-----------------------|-----------------------|--|----------|
| 130 | 65 | Surcharge - late filing fee or oath | |
| 50 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 130 | 130 | Non-English specification | |
| 2,520 | 2,520 | Request for ex parte reexamination | |
| 110 | 55 | Extension for reply within first month | |
| 420 | 210 | Extension for reply within second month | |
| 950 | 475 | Extension for reply within third month | |
| 1480 | 740 | Extension for reply within fourth month | |
| 2010 | 1005 | Extension for reply within fifth month | |
| 330 | 165 | Notice of Appeal | |
| 330 | 165 | Filing a brief in support of an appeal | |
| 290 | 145 | Request for oral hearing | |
| 130 | 130 | Petitions to the Commissioner | |
| 180 | 180 | Submission of Information Disclosure Statement | |
| 770 | 385 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 770 | 385 | For each additional invention to be examined (37 CFR 1.129(b)) | |
| 100 | 100 | Certificate of Correction for applicant's error | |
| 110 | 55 | Submission of Terminal Disclaimer | |

Other fee (Specify)

Other fee (Specify)

SUBTOTAL (3) (\$) 0.00

SUBTOTAL (1) 770.00

SUBTOTAL (2) 0.00

SUBTOTAL (3) 0.00

TOTAL (\$) 770.00

CORRESPONDENCE ADDRESS

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Respectfully submitted,
 Date: March 17, 2004
 Reg. No.: 44,381
 Tel. No.: (617) 310-8327
 Fax No.: (617) 248-7100

Natasha C. Us
 Natasha C. Us
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COPY

Express Mail Mailing Label No. EV289511431US

PATENT

Attorney Docket No.: ASC-025DV1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Cheng et al.
SERIAL NO.: Not yet assigned GROUP NO.: Not yet assigned
FILING DATE: Herewith EXAMINER: Not yet assigned
TITLE: PROCESS FOR PRODUCING SEMICONDUCTOR ARTICLE
USING GRADED EPITAXIAL GROWTH

BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL OF FORMAL DRAWINGS

Sir:

Transmitted herewith for filing in the above-referenced patent application are five (5) sheets of formal drawings.

Respectfully submitted,



Natasha C. Us
Attorney for the Applicants
Testa, Hurwitz, & Thibault, LLP
High Street Tower
125 High Street
Boston, Massachusetts 02110

Date: March 7, 2003
Reg. No. 44,381

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